

**UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF NEW YORK**

HARRINGTON GLOBAL OPPORTUNITY  
FUND, LIMITED,

Plaintiff,

-against-

CIBC WORLD MARKETS CORP., CIBC  
WORLD MARKETS INC., BANK OF  
AMERICA SECURITIES, INC., MERRILL  
LYNCH CANADA INC., MERRILL LYNCH  
PROFESSIONAL CLEARING CORP., TD  
SECURITIES, INC., TD SECURITIES(USA)  
LLC, CORMARK SECURITIES, INC., UBS  
FINANCIAL SERVICES, INC., UBS  
SECURITIES CANADA, INC., SOCIETE  
GENERALE CAPITALE CANADA, INC.,  
SG AMERICAS SECURITIES, LLC, AND  
JOHN DOES 1 THROUGH 10,

Defendants.

Case No. 1:21-cv-00761 (LGS)

**RULE 7.1 CORPORATE DISCLOSURE STATEMENT**

Pursuant to Rule 7.1 of the Federal Rules of Civil Procedure, Defendants UBS Financial Services, Inc. and UBS Securities Canada, Inc. provide the following disclosure:

UBS Financial Services, Inc. is wholly owned by UBS Americas Inc., which is wholly owned by UBS Americas Holding LLC. UBS Americas Holding LLC is wholly owned by UBS AG. UBS Securities Canada, Inc. is wholly owned by UBS Holding Canada Ltd., which is a wholly owned by UBS AG. UBS AG is wholly

owned by UBS Group AG, a publicly traded company. No publicly held corporation owns 10% or more of UBS Group AG stock.

Dated: March 23, 2021

New York, New York      Respectfully submitted,

BAKER & MCKENZIE LLP

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and UBS Financial Services, Inc.*